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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

Application Number	09802025
Filing Date	2001-03-08
First Named Inventor	Christopher Keith
Art Unit	3628
Examiner Name	Elda G. Milef
Attorney Docket Number	IVEN125465

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	
<i>km</i>	1	3702007	A	1972-10-31	Davis, II		
<i>km</i>	2	4346442	A	1982-08-24	Musmanno		
<i>km</i>	3	4376978	A	1983-03-15	Musmanno		
<i>km</i>	4	4456957	A	1984-06-26	Schieltz		
<i>km</i>	5	4823265	A	1989-04-18	Nelson		
<i>km</i>	6	5077665	A	1991-12-31	Silverman		
<i>km</i>	7	5101353	A	1992-03-31	Lupien		
<i>km</i>	8	5148365	A	1992-09-15	Dembo		

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<i>EM</i>	9	5253165	A	1993-10-12	Leiseca	
<i>EM</i>	10	5297032	A	1994-03-22	Trojan	
<i>EM</i>	11	5412804	A	1995-05-02	Krishna	
<i>EM</i>	12	5453601	A	1995-09-26	Rosen	
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<i>EM</i>	14	5689652	A	1997-11-18	Lupien	
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<i>EM</i>	16	5845266	A	1998-12-01	Lupien	
	17	5847845	A	1998-12-00	Takahashi	
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<i>EM</i>	19	5924083	A	1999-07-13	Silverman	

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EM	20	5953707	A	1999-09-14	Huang	
EM	21	5983200	A	1999-11-09	Slotznick	
EM	22	6029146	A	2000-02-22	Hawkins	
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	24	6068117	A	2000-05-30	Koehn	
EM	25	6101484	A	2000-08-08	Halbert	
EM	26	6131087	A	2000-10-10	Luke	
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EM	28	6236980	B1	2001-05-22	Reese	
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EM	30	6321212	B1	2001-11-20	Lange	

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<i>gm</i>	31	6359633	A	2002-03-19	Balasubramaniam	
<i>gm</i>	32	6408282	B1	2002-06-18	Buist	
<i>gm</i>	33	6418419	B1	2002-07-09	Nieboer	
<i>gm</i>	34	6421653	B1	2002-07-16	May	
<i>gm</i>	35	6493682	B1	2002-12-10	Horrigan	
<i>gm</i>	36	6505174	B1	2003-01-07	Keiser	
<i>gm</i>	37	6625583	B1	2003-09-23	Silverman	
<i>gm</i>	38	6629082	B1	2003-09-30	Hambrecht	
<i>gm</i>	39	6792399	B1	2004-09-14	Phillips	

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	1	20030014354	A1	2003-01-16	Madoff	
	2	20030014379	A1	2003-01-16	Saias	

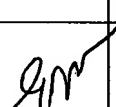
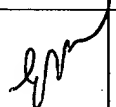

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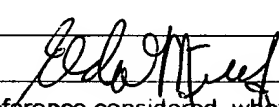
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	1	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995 pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
	2	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
	3	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999 < http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml > [retrieved April 5, 2004].	<input type="checkbox"/>

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☐ See attached certification statement.

☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2006-10-13
Name/Print	Kevan L. Morgan	Registration Number	42015

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2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
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Examiner Name	Elda G. Milef
Attorney Docket Number	IVEN125465

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<i>EW</i>	1	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3rd ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>

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Examiner Signature	<i>Elda Milef</i>	Date Considered	4/11/07
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Name/Print	Kevan L. Morgan	Registration Number	42015

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